

## Exhibit 300: Capital Asset Summary

### Part I: Summary Information And Justification (All Capital Assets)

#### Section A: Overview & Summary Information

**Date Investment First Submitted:** 2009-06-30  
**Date of Last Change to Activities:** 2012-08-31  
**Investment Auto Submission Date:** 2012-02-29  
**Date of Last Investment Detail Update:** 2012-02-29  
**Date of Last Exhibit 300A Update:** 2012-08-31  
**Date of Last Revision:** 2012-08-31

**Agency:** 028 - Small Business Administration      **Bureau:** 00 - Agency-Wide Activity

**Investment Part Code:** 01

**Investment Category:** 00 - Agency Investments

**1. Name of this Investment:** OCA: Loan Accounting System (LAS)

**2. Unique Investment Identifier (Ull):** 028-000001004

#### Section B: Investment Detail

- 1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. Include an explanation of any dependencies between this investment and other investments.**

SBA's Loan Accounting System (LAS) has been in existence since the 1970's. While state-of-the-art when designed, the application environment now adversely impacts the SBA's ability to rapidly meet the expanding requirements of current and future business needs. The LAS includes 19 subsystems and serves as the principal data processing and data collection tool for SBA's loan servicing, loan monitoring and loan accounting processes. The core of this investment is a 20 year old set of COBOL mainframe applications. This investment has been revised to support the agency's loan modernization efforts. The revised LAS includes the following incremental projects: Incremental migration of user interfaces to a Java/Cold Fusion/Oracle platform; Port batch programs to a new version of COBOL not captive to the Unisys mainframe; Document the mainframe loan environment; Conduct root cause analysis for known issues; Implement improvements resulting from the root cause analysis. Key objectives of these new projects are to facilitate more rapid response to the need to implement new loan programs and to continue the incremental modernization of the loan accounting system. SBA's loan centers and lender community are a direct beneficiary of the LAS investment. The investment directly supports originating, servicing, and liquidating a loan. This investment is dependent on the EUSS investment. The EUSS investment includes the infrastructure that LAS utilizes. The investment is a mixed state.

- 2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? Include an assessment of the program impact if this investment isn't fully funded.**

The investment closes an identified risk that may result in a performance gap for agency's loan system. SBA has identified that it is a risk to be on platform that is vendor dependent. SBA is taking initiatives to migrate to a platform independent environment.

- 3. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added, or operational efficiency achieved.**

In the FY 2011, the LAS investment had several major accomplishments which supported the agency's mission. LAS successfully implemented technology to support the Jobs Act of 2010. The LAS investment has supported successful implementation of the Intermediary Lending Loan Program. While supporting the implementation of new loan programs, the LAS investment also retired functionality off the mainframe. In addition in FY 2011, SBA retired 275 COBOL TIP and batch programs which has resulted in 25% overall reduction in mainframe user transactions.

- 4. Provide a list of planned accomplishments for current year (CY) and budget year (BY).**

In the current and budget year, SBA plans to retire all screens off the mainframe and into existing web applications. SBA also plans to assess porting the loan accounting code off the mainframe. While taking actions to retire the mainframe, SBA will initiate projects to migrate the Denver system from Sybase to Oracle as well as identify root cause analyses and implement their corresponding solutions to the financial accounting environment.

- 5. Provide the date of the Charter establishing the required Integrated Program Team (IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.**

2011-08-22

## Section C: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.C.1 Summary of Funding

	PY-1 & Prior	PY 2011	CY 2012	BY 2013
Planning Costs:	\$0.4	\$0.1	\$0.0	\$0.0
DME (Excluding Planning) Costs:	\$10.0	\$6.4	\$2.3	\$0.2
DME (Including Planning) Govt. FTEs:	\$0.0	\$0.4	\$1.5	\$0.8
Sub-Total DME (Including Govt. FTE):	\$10.4	\$6.9	\$3.8	\$1.0
O & M Costs:	\$5.6	\$2.2	\$2.7	\$3.2
O & M Govt. FTEs:	\$0.5	\$0.5	\$0.5	\$0.5
Sub-Total O & M Costs (Including Govt. FTE):	\$6.1	\$2.7	\$3.2	\$3.7
Total Cost (Including Govt. FTE):	\$16.5	\$9.6	\$7.0	\$4.7
Total Govt. FTE costs:	\$0.5	\$0.9	\$2.0	\$1.3
# of FTE rep by costs:	4	10	19	13
Total change from prior year final President's Budget (\$)		\$0.1	\$0.6	
Total change from prior year final President's Budget (%)		0.67%	9.09%	

**2. If the funding levels have changed from the FY 2012 President's Budget request for PY or CY, briefly explain those changes:**

The summary of spending changed significantly as the LAS program will include several new projects to modernize the loan environment, as opposed to only steady-state efforts. The new projects include: Incremental Migration of User Interfaces, Document Mainframe Loan Environment, Port to New Version of COBOL, Root Cause Analyses, and Implement Improvements.

## Section D: Acquisition/Contract Strategy (All Capital Assets)

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	EVM Required	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	Ultimate Contract Value (\$M)	Type	PBSA ?	Effective Date	Actual or Expected End Date
Awarded		<a href="#">SBAHQ07C0010</a>									
Awarded		<a href="#">SBAHQ08A0040</a>									
Awarded		<a href="#">SBAHQ10D0012</a>									
Awarded		SBAHQ11F01011									

**2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:**

Earned value is not required for the purchase of an expense item.

## Exhibit 300B: Performance Measurement Report

### Section A: General Information

**Date of Last Change to Activities:** 2012-08-31

### Section B: Project Execution Data

**Table II.B.1 Projects**

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
16181	PROJ: LAS ADMIN	This project includes office space expenses for the LMAS-IIPs.			
16182	PROJ: LAS Document Loan Accounting	This project will include documenting the loan accounting environment after the mainframe is retired.			
16183	PROJ: LAS Implement Improvements	Implement those enhancements identified from the analysis efforts conducted as part of "Root Cause Analysis" Project.			
16184	PROJ: LAS Incremental UI	The Incremental Migration of User Interfaces project involves migrating from the mainframe to existing SBA web applications.			
16185	PROJ: LAS Perform Root Cause	Perform root cause analyses for known issues and identify potential solutions. Also, analyze desired enhancements and assess means for achieving those deemed feasible, including the possible acquisition of new systems and services to further enhance the Agency's financial management systems and			

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
		controls. Develop supporting cost and schedule estimates as well as required business cases.			
16186	PROJ: LAS PMO	The project management office to support LMAS-IIPs.			
16187	PROJ: LAS Port	The LAS Port project is one of two projects initiated by the SBA to eliminate the agency's dependency on a Unisys mainframe for the operation of its 20 year old COBOL programs that comprise the Loan Accounting System.			
16806	PROJ: LAS Microloans Automation Project FY2010	The objective of this project is to automate as much as possible the manual, paper-based business processes in order to improve and streamline the administrative operations of the Microloan Program. As far as feasible, this will be accomplished by replacing paper based forms with electronic forms and screens, and automated workflows to manage business processes. Another key objective of this project is to provide the Program with access to enhanced management reporting capabilities for decision support. This includes pre-defined/canned reports, and ad hoc reporting abilities which will enable Program personnel to create any unique reports required by them.			

Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities	End Point Schedule Variance	End Point Schedule Variance (%)	Cost Variance (\$M )	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
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## Activity Summary

## Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M )	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
		(\$M)	(in days)					
16181	PROJ: LAS ADMIN							
16182	PROJ: LAS Document Loan Accounting							
16183	PROJ: LAS Implement Improvements							
16184	PROJ: LAS Incremental UI							
16185	PROJ: LAS Perform Root Cause							
16186	PROJ: LAS PMO							
16187	PROJ: LAS Port							
16806	PROJ: LAS Microloans Automation Project FY2010							

## Key Deliverables

Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
16184	PROJ: LAS Incremental UI - Post-Award	Develop WorkScope, Vendor Planning, Develop Staffing Management Plan, IBR Documentation	2011-08-02		2011-08-02	124	0	0.00%
16184	PROJ: LAS Incremental UI - Purchase HW for contractor	Purchase SW for contractor	2011-08-03		2011-09-01	127	-29	-22.83%
16184	PROJ: LAS Incremental UI - Phase 1	Migrate user screens for ELIPS and ETRAN	2011-09-27		2012-05-27	180	-243	-135.00%

Key Deliverables								
Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days )	Schedule Variance (%)
16184	PROJ: LAS Incremental UI - Phase 2	Contractor Support Phase 2	2011-11-22		2012-05-27	77	-187	-242.86%
16187	PROJ: LAS Port - Migration Assessment	Assess, Analyze and Select a Migration Alternative	2011-11-23		2011-12-16	57	-23	-40.35%
16184	PROJ: LAS Incremental UI - Phase 4	Contractor Support Phase 4	2011-11-30		2012-04-30	29	-152	-524.14%
16185	PROJ: LAS Perform Root Cause - FCA Planning	Contractor Support (Planning )	2012-01-06		2012-01-06	17	0	0.00%
16184	PROJ: LAS Incremental UI - Phase 3	Contractor Support Phase 3	2012-03-22		2012-05-27	125	-66	-52.80%
16185	PROJ: LAS Perform Root Cause - FCA Execution	Contractor Support (Execution)	2012-04-30		2012-04-30	104	0	0.00%
16185	PROJ: LAS Perform Root Cause - Travel	Contractor Support (Travel)	2012-04-30		2012-04-30	28	0	0.00%
16184	PROJ: LAS Incremental UI - Cleanup/Closeout	Cleanup and Closeout of project	2012-04-30		2012-05-27	29	-27	-93.10%
16187	PROJ: LAS Port - Port Planning Phase	Planning for migration of data	2012-06-29		2012-06-29	63	0	0.00%
16185	PROJ: LAS Perform Root Cause - Financial Data Dictionary Task	Contractor Support (Planning)	2012-08-31	2012-08-31		93	0	0.00%
16187	PROJ: LAS Port - Port Phase 1	Migrate data for Worpackages 1 through 4	2012-11-20	2012-11-20		141	0	0.00%

## Section C: Operational Data

Table II.C.1 Performance Metrics

Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency
Accurately report the SBA current loan portfolio within a day	Percent	Customer Results - Service Accessibility	Over target	100.000000	100.000000	100.000000	100.000000	Semi-Annual
Systems availability to LAS users not including scheduled maintenance	Percent	Mission and Business Results - Management of Government Resources	Over target	99.000000	100.000000	99.000000	100.000000	Semi-Annual
LAS nightly Updates completed by 9:00 AM	Percent	Process and Activities - Productivity	Over target	100.000000	100.000000	99.000000	100.000000	Monthly
Systems Connectivity to internal partners	Percent	Technology - Reliability and Availability	Over target	100.000000	100.000000	99.000000	100.000000	Monthly
Systems Connectivity to external partners	Percent	Technology - Reliability and Availability	Over target	100.000000	100.000000	99.000000	100.000000	Monthly